
SUBJECT: NAA POLICY ON EXTRAMURAL AGREEMENT REPORTS

Policy Authorized Departmental Officer's Designated Representatives (ADODR) are responsible for ensuring that progress/performance reports (e.g., semi-annual, annual, final), and financial status reports for extramural agreements are received from the cooperators, in accordance with the terms and conditions of each agreement. Copies of these reports are required to be forwarded *to* the Area Extramural Agreements Specialist who is the Authorized Departmental Officer (ADO), *through* the Associate Area Director, for retention in the ADO's official agreement file. In addition, the ADODR is to provide two copies of substantive publications generated under this Agreement, if any, to the National Agricultural Library.

Supporting Authorities

- \$** Extramural Agreements Manual 280.0
- \$** ADODR Delegation Instructions

Applicable Extramural Agreements This report policy refers to the following extramural agreements:

- \$** Specific Cooperative Agreement
- \$** Grant & Assistance-Type Cooperative Agreement
- \$** Memorandum of Understanding
- \$** Non-funded Cooperative Agreement
- \$** Foreign Agreements (for above listed type of agreements)

This report policy does NOT apply to Trust Fund and Reimbursable Cooperative Agreements.

Justification The following supports the importance of periodic and final progress, financial, and invention reports.

- \$** Documents that the cooperative effort was carried out in accordance with the objectives and approach of the research project. (For auditing purposes.)
 - \$** Provides proof of cooperator compliance with the terms and conditions of the agreement, when retained in the official ADO file. (For auditing purposes.)
 - \$** Required when amending an agreement to modify funding.
 - \$** Mandatory for extramural agreement "close out" by the ADO.
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Requirements

The requirements for extramural agreement reports are defined below.

1. Progress reports are to be submitted at least annually for all agreements. One-year agreements may require only a final report. All annual reports are due by June 30th.
 2. ADODR must review progress report(s) to ensure consistency with agreement stated objectives, and determine if the activity has deviated significantly from the original objectives. If it is ascertained that such a change has occurred, then corrective action should be taken.
 3. Progress/final reports should be written in a language understandable to a scientist who may not be a specialist in the field of the project's research. Abbreviations or language that may not be generally known to the broader scientific community should be avoided or clearly defined. Inclusion of technical and experimental details are optional at the decision of the ADODR
 4. All progress report copies are to be forwarded to the ADO, through the Associate Area Director. Cooperator may submit reports to the ADODR electronically, or via regular mail with a date and signature.
 5. 2 copies of substantive publications generated under an Agreement are to be forwarded to the National Agricultural Library (NAL). In addition, Agency journal articles prepared by or issued under the sponsorship of USDA, but printed outside the central USDA and Government Printing Office channels are also to be forwarded to NAL. (Send to: USDA, NAL, Head, Acquisitions & Serials Branch, 10301 Baltimore Blvd, Room 002, Beltsville, MD 20705). Attach a cover memo to NAL for transmittals, and ensure that you reference the extramural agreement number and Cooperator's name. Provide a copy of this memo to the ADO.
 6. Financial reports should be prepared by the Cooperator on the SF-269A, and submitted to the ADODR with a copy to the ADO, in accordance with the duration called for in the agreement. The ADODR should review all financial reports.
 7. The ADODR must forward any reports of inventions to the ADO.
 8. Final Financial Status Reports, Performance Reports, and Invention Reports are due to the ADODR within 90 days of completion, expiration or termination of the agreement.
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**Progress
Reporting
Format**

The succeeding annual progress report format is standard for all extramural agreements, unless the Area Director has approved a modified format.

Reports must be less than 5 pages, and are to be written single-spaced, as follows:

1. Summarize the problem or issue being resolved and explain how you are resolving it.
2. What was your most significant accomplishment this past year? Describe any other significant accomplishment(s).
3. Describe your major accomplishments over the life of the project, including their predicted or actual impact.
4. What do you expect to accomplish during the next year?
5. What technologies have been transferred and to whom? When is the technology likely to become available to the end user (industry, farmer, other scientists)?
6. List all publications produced 1 October through 30 September of the fiscal year during which this work was conducted.

This format will be provided in the statement of work for all new agreements. The final Specific Cooperative Agreement progress/performance report format is found in the "General Provisions," Form REE-452.

**Submission
Restriction**

The AD-421, Annual Research Progress Report, may not serve as a substitute for the cooperator's progress report.

**Failure
To Comply**

- § The ADO will notify the Associate Area Director when an ADODR fails to ensure that progress reports are forwarded to the ADO. A notice from the Area Director will be sent to the Lead Scientist or Research Leader indicating that the ADODR has failed to perform his or her duties under their delegation.
- § Funds may be withheld for amendments, until progress reports are furnished.